DOCUMENT RESUME

ED 030 959 EA 002 350

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Management Emphases in the Installation of an Evaluation Staff for Federally-Funded Projects in a Large City.

Pub Date 8 Feb 69

Note-13p.; Paper presented at the Annual Meeting of the Amer. Educ. Res. Assn. (Los Angeles, Calif., Feb. 8, 1969).

EDRS Price MF-$0.25 HC-$0.75

Descriptors-Administrative Organization, Compensatory Education Programs, *Decision Making, *Federal Programs, *Personnel Selection, Planning, *Program Evaluation, Staff Utilization, *Urban Schools

Identifiers-*ESEA Title 1

Training in design and test development may not be of much help in dealing with the evaluation of Federally funded projects in a large city school system. Planning and carrying out evaluation in a large urban school system requires that much skill and time be spent on typically managerial pursuits. Therefore, a specialist in evaluation and research management is highly desirable. His duties should be mostly concerned with strategic issues such as management control, strategic planning, operational control, and the necessary person-to-person interactions. Such a person is likely to be less than adequate in dealing with technical evaluation issues. However, he should head up the evaluative effort, with a specialist in research design and test development assigned to carry out the actual evaluation. (TT)

ED030959

# Management Emphases in the Installation of an Evaluation Staff for Federally-Funded Projects in a Large City

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U.S. DEPARTMENT OF HEALTH, EDUCATION & WELFARE
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EA 002 350

1969 American Educational Research Association

Meetings in Los Angeles

February 8, 1969

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## Background

During the fall of 1967 Educational Testing Service began to provide consultation to the Board of Education of a large city as part of a subcontract for evaluating the outcomes of Title I ESEA programs. At that time the Board of Education did not have formally organized, central evaluation capabilities. Therefore, among other services, Educational Testing Service was requested to provide advice which would be helpful to the Board of Education when it might attempt to establish a centralized evaluation component within Title I and, in general, the funded projects area.

This report is a summary of the outcomes of our deliberations. Its contents are perhaps of general interest. The management emphasis which we have elected to make is somewhat unusual because the specific management viewpoint which has been adopted has not, to my knowledge, previously been strongly supported for its applicability to the organization of evaluation efforts in local education agencies. Yet the approach to be outlined may be relevant to any large city school system which is trying to establish or improve the function of a research and evaluation staff.

## Strategic Planning, Management Control and Operational Control

In a small book titled Planning and Control Systems: A Framework for Analysis,[1] Robert N. Anthony reported his thoughts about the broad topical area of planning and control systems. His thoughts, I have concluded, are highly appropriate to the organization of evaluation efforts in a large city system. To establish the possible suitability of Anthony's ideas to this audience I must first define for you three critical terms: (1) strategic planning, (2) management control, and (3) operational control. The viewpoint which has been presented to the contracting school system is built upon the use of these terms.

Anthony himself suggested the following definitions for them:

> Strategic planning is the process of deciding on objectives of the evaluation component, on changes in these objectives, on the resources used to attain these

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1. Boston: Division of Research, Graduate School of Business Administration, Harvard University, 1965, 180 pp.

> objectives, and on the policies that are to govern the acquisition, use, and disposition of these resources.[2]
>
> Management control is the process by which managers assure that resources are obtained and used effectively and efficiently in the accomplishment of the organization's objectives.[3]
>
> Operational control is the process of assuring that specific tasks are carried out effectively and efficiently.[4]

It must be understood that the three activities which have just been defined should not be considered to be fully discreet and non-overlapping. On the contrary, overlap is sufficiently great that, in particular, strategic planning and management control or management control and operational control functions sometimes can hardly be separated from each other.

Title I ESEA Evaluation

To help you understand the applications which are proposed for these terms I must tell you more about the Title I, ESEA, program which requires evaluation. It was budgeted for the expenditure of about $23 million over the previous fiscal year. This budget constituted roughly 5 per cent of the national budget for Title I and exceeded one half of the budget for the sponsoring state. Forty-two projects were undertaken through this funding. Their range spanned a very large fraction of the full domain of Title I projects as they exist nationally. Therefore, nearly the complete range of evaluation problems which anyone must face exist in this single funding, and, it seems safe to say, the issues which exist with regard to the evaluation of Title I in, for example, OE or the State Department of Public Instruction are essentially identical with those found in the city.

The administration of the Title I program is undertaken between impinging forces for (1) reorganization for purposes of decentralization which are being applied from above within the Board of Education, and for (2) local rule which are being generated at the building and community levels. As part of the decentralization effort, which has been initiated from the top of the administrative structure, three area superintendents are being installed beneath the office of the General Superin-

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2. Ibid., pp. 16-[redacted]
3. Ibid., pp. 17.
4. Ibid., pp. 18.

tendent of Schools and abcve the 27 district superintendents who have formerly reported to the central administrative offices. Community interest in control of schools has risen rapidly within the past several years and has been forcefully expressed as, for example, when popular Title I activities were scheduled for elimination or removal from some buildings this past fall. At that time community groups protested directly to the central administration against termination of Title I activities which they judged to be important to their building. These opposing forces from above and below upon the director of Title I activities must, it seems, be given serious attention as an evaluation component is installed within the Board of Education.

Of course, from outside of the Board of Education come demands to provide evaluative summaries for the benefit of the State Department of Public Instruction and the U. S. Office of Education. The most notable of various external demands has been the introduction of the Survey of Compensatory Education which was begun last spring. That survey called for the cooperation of central office staff and of personnel in 135 buildings within the city. The persuasive and organizational aptitudes which were called for to conduct the Survey of Compensatory Education were almost excessive; they are typical of the evaluation demands which exist when large program efforts are to be evaluated. Figure 2 summarizes the sources and demands for liaison which must be attended to.

Strategic Planning

I wish now to call your attention to the basic organizational plan for curriculum evaluation and research which has been passed out to you as Figure 1. There is hardly anything new in it. It is very brief for a large city, but one must start somewhere.

What I am attempting to present to you is not a drastically different organizational plan but, instead, a viewpoint toward evaluation in this particular setting which, if accepted, has much to say about the selection of personnel for positions, priorities to govern their selection, and priorities by which they would allocate their time and efforts. To understand this difference you should first [illegible] that the Director of Evaluation and Research and the Director of Design and

Test Development are explicitly recorded as separate positions. Also, the Director of Evaluation and Research is shown in a "superior" position to that of the Director of Design and Test Development in spite of the fact that the Director of Design and Test Development must almost certainly possess a greater level of technical knowledge than the Director of Evaluation and Research.

To better understand this arrangement, to fully understand the viewpoint which is being implied and to envisage the role of the research director you may require two additional guidelines. First, the viewpoint I am presenting requires that the question "How do we improve evaluation?" must usually be granted precedence over the more immediate question of "How do I evaluate this project?" if evaluation is to be fully meaningful. Second, one should perhaps accept the opinion that it is unrealistic to believe a single all-purpose rationale or viewpoint can be provided for directing (managing) evaluation. ~~is unrealistic~~.

It seems almost impossible to work at the evaluation of compensatory education programs without being nearly ovewhelmed by the variety of measurement, logistical and other problems which exist. Instruments have been found to be unsuitable to the populations; norm groups for the instruments which have been employed are generally inappropriate. Satisfactory comparison groups are difficult to come by. The evaluation of efforts which call for the involvement of community representatives may be totally without suitable instrumentation; even when instrumentation is available, the cooperation of different interested and effected parties such as principals, teachers and parents is not easy to acquire. In some cities, decentralization and the rapid growth of community interest in schools poses another set of exceedingly difficult problems to be overcome. The decentralization to which I have referred is proceeding along lines laid out by a management consulting firm, but the generation of local interest is seemingly without order.

Directives requesting major changes in program emphasis, as for example from expenditures spread across eligible buildings to expenditures concentrated for selected pupils and buildings, make planning for evaluation over years a somewhat hazardous undertaking in itself.

Area superintendencies, as being developed in the schools of the city to which

I am relating , will have responsibility for the education of more than 150,000 students. If area superintendencies are to indeed have considerable autonomy in the administration of educational programs within their jurisdiction do they not themselves require capabilities for evaluation, and should one not anticipate that the administration of Title I funds might someday have to be decentralized to the area level? The foregoing and other questions and issues, in almost endless profusion, have prompted us to conclude that the most important concerns which would demand the attention of a Director of Evaluation and Research in the federal project area are concerns which Anthony would subsume under the title of "strategic planning." They are also the sort of concerns which a technically proficient Director of Design and Test Development would often not find very interesting. At least, I should be correct in stating that most specialists in design and test development do not wish to spend a very large fraction of their time engaging in discussions of strategic issues.

One reason is perhaps now evident for making a distinction between planning to improve evaluation and planning to evaluate a specific activity or undertaking: Improvement of Title I evaluation in general requires a great deal of interaction, cooperation and planning by many individuals and agencies. A second set of reasons for emphasizing this consideration is explicitly the following: It is usually not possible to evaluate a project (singular you will note) and to subsequently provide information about it which is both unequivocal and suitably timed for effective decision making. By this I also mean to suggest that an organization the size of a large city board of education shares problems which are identical in format with those to be met by a state department of public instruction and the U. S. Office of Education. If, as is admittedly true, OE has all it can handle in its efforts to try to engage in effective evaluation of the outcomes which arise from its expenditures, one could hardly expect a large city board of education to perform more effectively or, perhaps, to perform as well. Thus the strategic concerns which the Office of Education must now attend to for norming, instrument development, etc., are shared by large city boards of education; just as OE cannot solve its problems on short order and without long range planning, neither can the board of education of a local agency be expected to do so.

Concern for the improvement of evaluation in the city must precede, or at the very least be kept separate in consideration from, the evaluation of specific activities. Thus the role of the Director of Evaluation and Research becomes one of (a) a chooser of objectives for evaluation and (b) a planning initiator for the organization of evaluation efforts, both of which are strategic concerns.

Within the framework established by Anthony, the concerns which I have been enumerating in this section of my presentation are for strategic planning to deal with the following most pressing policy issues:

1. How to successfully initiate an extensive data bank operation with access to city-wide test data and provide for the security of data which is collected and inserted in it.

2. The type of liaison which should be initiated with area superintendents, district superintendents, building principals and teachers.

3. The types of interaction which should be initiated with external agencies such as OE, the state department of public instruction, other cities via conferences, and other collaborative efforts.

4. How to provide in-service education about evaluation.

5. How to schedule for long-term development of evaluation and research capabilities.

6. How to assign priorities by which to determine which issues should be given the greatest attention.

7. How to allocate money to various evaluation activities.

8. How to allocate personnel to different evaluation activities.

On Figure 2, have been recorded the internal and external agencies and individuals of concern to the Director of Evaluation and Research when he engages in strategic planning efforts. It may be noted that initiation of strategic planning will, as Anthony has suggested, involve discussions of strategies for evaluation which, over the first year at least, will require a great amount of person-to-person interaction with individuals and small groups. From those discussions the director will have as his responsibility the task of better identifying and clarifying the efforts to be undertaken by his organization.

Management Control

Anthony has said:

> Strategic planning is the process of deciding on objectives and policies. It has to do with major decisions with long-term consequences. Management control has to do with the ongoing operation of the enterprise, within the guidelines established by these policies.[35]

He has firmly emphasized that these processes shade into one another but has maintained that the distinctions which can be made between them are meaningful--an opinion which I share and which seems particularly appropriate for the Board of Education. You have probably noted that the Director of Design and Test Development occupies a position in Figure I which allocates to him responsibilities of a very broad nature. This is intended to communicate something of the relationship between his position and that of other individuals in the organization. One can almost say that this individual should identify strongly with management control and also be involved in strategic planning and operational control. However, his greatest concern would be for those management control issues for which technical design and test development considerations must have high priority. Thus the Director of Design and Test Development would ideally assume the largest fraction of responsibilities for operational phases of ongoing research and evaluation efforts; the Director of Evaluation and Research would share responsibility for management control functions but would concern himself more with establishing role relationships and feasible schedules, dealing with budgetary matters and other details which are generally thought to be administrative matters rather than research design or development activities.

Exhibit I is a record of activities which can be classified under the three major framework headings. I have already enumerated to you those issues recorded under strategic planning. You will note that the activities recorded under management control are, with one exception, of the nature of elaborations of more specific undertakings; they parallel strategic policy issues. Planning for the evaluation of activities, the new and last item, is the function most commonly associated with a Director of Design and Test Development or, perhaps, a Director of Evaluation and Research for a specific evaluation effort. It is a responsibility which would demand

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[35] Ibid., p. 68.

the greatest fraction of time from the Director of Design and Test Development and which best distinguishes between the responsibilities of his office and that of the Director of Evaluation and Research.

Operational Control

You have noted that Exhibit I also provides a summary of activities for operational control. Program evaluation and review technique (PERT) is illustrative of the systematic efforts which have been developed to handle operational control problems. Planning memoranda, daily work schedules and similar documents are highly appropriate for operational control activities. ~~Actually, I suppose one might summarize these responsibilities by suggesting that they are layouts for governance of the organization.~~ Clerks, programmers, field service workers and research assistants are to carry out operational undertakings; the various directors would be responsible for monitoring and controlling those undertakings. I assume you fully understand the nature of these efforts.

A Brief Summary

One can perhaps understand most of what there is to understand about the term "management" by equating it, as Simon has, with decision-making.[6] As such, it is hard to say much about the topic I have selected without risking that an audience will often, if not generally, feel they are not hearing anything new. However, I feel I must persist in my effort by emphasizing that a curriculum for the preparation of researchers in behavioral science or for specialists in research design, or even for specialists in evaluation might seldom prepare them to effectively cope with the evaluation problems which exist in an agency such as the large city board of education. A graduate of such a program who has acquired technical capabilities in the areas of test development and research design might be poorly suited to engage in person-to-person interactions with the range of individuals concerned with critical aspects of evaluation within the Board of Education. At the same time, a person well suited to the latter is likely to be less than fully adequate to deal with technical issues. It is not enough, I am suggesting, to secure top level staffing for one of these functions without simultaneously having consideration for the other.

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6. Simon, Herbert A., The New Science of Management. New York: Harper & Row, 1960, p. 50.

The evaluation of projects in a setting as complexly dynamic as that within which large city government-funded programs operate, it seems to me, possesses its own strategic issues which should be formally attended to. Therefore, if decisions are made, and they must be, to spend or not to spend money on a specific evaluative activity, it is important to insure that evaluative efforts will not be one-shot affairs excessively keyed to specific curricular undertakings. By emphasizing management concerns and providing (hopefully) credible relationships to a rationale such as that presented by Anthony, I have attempted to establish criteria for personnel selection, for the order of their selection and for their training and assimilation into the evaluation effort being undertaken within the Board of Education. This effort may not be fully successful, but, hopefully, will not be characterized by lack of concern for collaborative efforts on the behalf of long range planning for evaluation nor will it fail to provide some capability for adaptation to changes which will inevitably occur within the domain of funded projects of the large city for which consultation is being provided.

Figure 1. Basic Organizational Plan for Curriculum Evaluation and Research: A Working Document--6 January, 1969

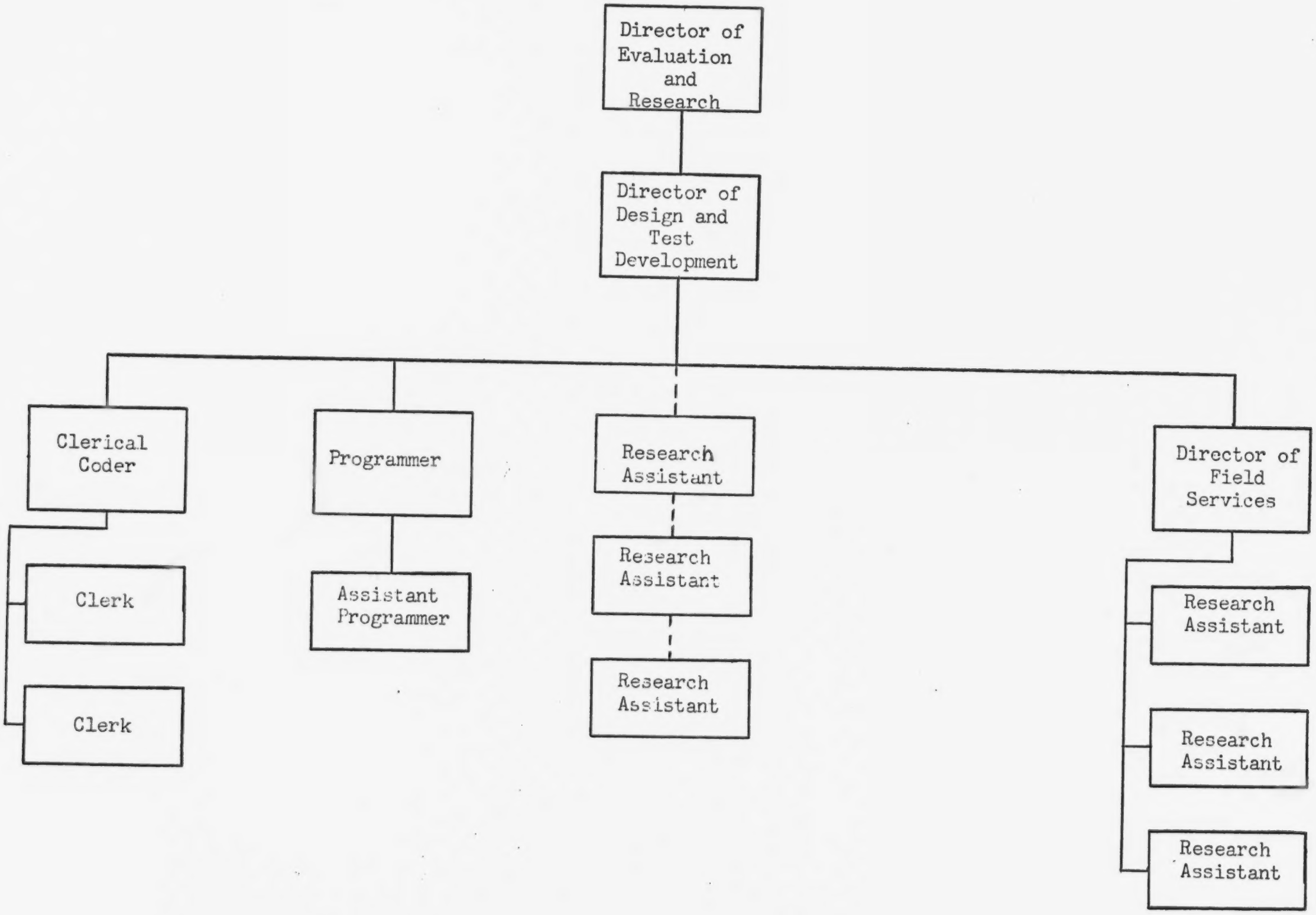

Figure 2. Agencies and Departments with which Liaison Must Be Maintained for Purposes of Planning and Control.

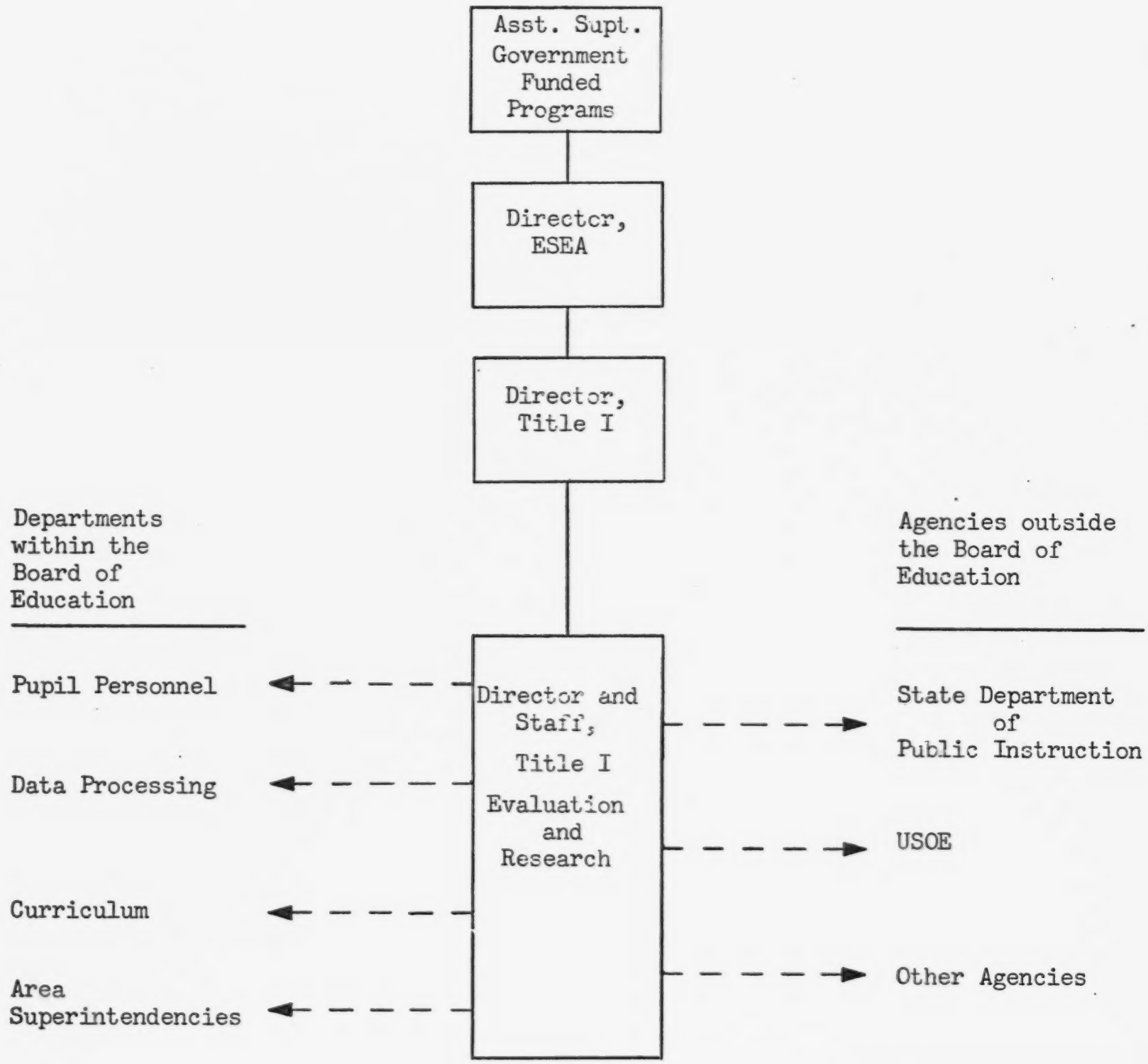

Exhibit I

Examples of Evaluation and Research Activities
Included Under Framework Headings

| Strategic Planning | Management Control | Operational Control |
|---|---|---|
| Setting data bank policies | Planning for initiating data banking | Implementing data bank plans |
| Setting internal liaison policies | Scheduling liaison activities | |
| Setting policies for collaboration | Deciding on collaborative efforts | Implementing policies |
| Setting in-service education policies | Deciding on in-service undertakings | Scheduling in-service programs |
| Setting long-term policies | Formulating long-term programs | Scheduling long-term programs |
| Establishing policies for the assignment of priorities | Formulating priorities | |
| Deciding on non-routine expenditures | Deciding on routine expenditures | Controlling expenditures |
| Setting personnel policies | Formulating personnel practices | Implementing policies |
| | Planning for the evaluation of specific curricular activities | Scheduling and monitoring evaluation activities (e.g., scoring tests, etc.) |

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11-10-69